

Engineer of Record Request for Qualifications (EOR RFQ)

for

Clinton City

Revised
September 26, 2007

**Utah Department of Transportation
EOR Request for Qualifications
for Clinton City**

SUMMARY SHEET

1. Clinton City is seeking a Consultant to provide Engineer of Record (EOR) professional services to supplement their engineering staff for federally funded transportation projects for Clinton City for a five (5) year period.

Clinton City is not required or limited to contract with the firm selected through this process for all projects, and may select consultants for projects through other qualification-based selection processes available through UDOT Consultant Services, such as the General Engineering and Local Government Pool, and Streamlined or Standard RFQs. The City may elect to cancel this relationship at any time.

2. Location: Clinton City, Davis County, Utah
3. Services include the following:
 - **Bridge Design**
 - **Environmental**
 - **Utility**
 - **Preconstruction**
 - **Construction Engineering Management**
4. Source(s) of Funding: Federal, State, Local or other funds
5. UDOT RFQ Administrator:

Raeleen Sanchez
Local Government Contract Administrator
Utah Department of Transportation
Consultant Services
Box 148490
4501 South 2700 West
Salt Lake City, Utah 84119-5998
801/965-4183
raeleen@utah.gov

6. Clinton City Project Management/Administration:

Lynn Vinzant
Assistant City Manager
1906 West 1800 North
Clinton, Utah 84015
801/774-2620
lvinzant@clintoncity.com

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7. UDOT Project Management:

David Adamson
Project Manager
Utah Department of Transportation
Region One
166 West Southwell Street
Ogden, Utah 84404
801/620-1688
deadamson@utah.gov

8. Advertisement Dates: Wednesday ~~September October~~ 26, 2007, UDOT web posting only

9. Engineer of Record Statement of Qualifications (EOR SOQ) Due Date:
Wednesday, October 10, 2007, 11:00 AM

Submit **ten** hard copies and an electronic PDF file of the SOQ on a CD to UDOT Consultant Services, 4501 South 2700 West, 4th Floor, Salt Lake City, Utah, prior to 11:00 a.m. on **Wednesday, October 10, 2007**.

EOR SOQ's will not be accepted after the 11:00 a.m. deadline.

10. Type of SOQ Required: In accordance with "Utah Department of Transportation Guidelines for Preparing an EOR Statement of Qualifications". See Appendix A, page 10 of this notice, for a copy of the guideline.

The Statement of Qualifications has a maximum page-limit of **TEN** pages.

11. Selection Team Meeting: Tuesday, October 16, 2007.

12. Optional Oral Interviews Date: EOR RFQ selections may be based on the EOR SOQ scores. However, if the Selection Team determines it is necessary to have interviews in order to make a selection, interviews will be held on Monday, October 22, 2007.

13. Selection Announcement Date: Wednesday, October 24, 2007.

14. Remarks: The sample chart, *Related Experience Chart* is available on the UDOT Web site <http://www.udot.utah.gov/go/csforms>.

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EOR Selection Schedule

Date	Day	Action
9/26/07	Wednesday	Posting of EOR RFQ on UDOT Consultant Services Project Advertisement website; e-mail to UDOT Consultant Services and Local Government subscriber's lists
10/10/07	Wednesday	EOR Statements of Qualifications are due by 11:00 a.m.
10/16/07	Tuesday	EOR Selection Team Meeting
10/22/07	Monday	EOR Consultant Selection Interviews (if needed)
10/24/07	Wednesday	EOR Consultant Selection Announcement

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Appendix B: *Proposed Key Personnel to Be Used on UDOT/EOR Project Form*

The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website <http://www.udot.utah.gov/go/csforms>.....

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Introduction - See **Appendix C** which includes:

- Scope of Work (Objectives and Tasks)
- QC/QA Plan Requirements
- Department Furnished Items

Project Dates:

Consultants are required to meet the dates set for the **optional** oral interviews. Consultants are also advised to meet the information submittal dates outlined in the summary sheet. Failure to meet these dates will be considered non-responsive.

Required Key Personnel Qualifications:

The Consultant shall be responsible to ensure that all personnel proposed under this Engineer of Record Request for Qualifications (EOR RFQ) be qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard practices.

The Consultant is expected to complete the form, *Proposed Key Personnel to Be Used on UDOT/EOR Project* (attached as **Appendix B** to this EOR RFQ). The Appendix B should state the certification and education levels of the individuals proposed for use on municipal projects.

The completed form must be included in statements but will not count as one of the allowed pages.

Required Availability of Key Personnel:

When Consultants list personnel on Appendix B *Proposed Key Personnel to Be Used on UDOT/EOR Project* Form, the Consultant is agreeing to make the personnel available to complete work on contracts at whatever level the project requires.

Required Percentage of Work for Prime Consultant:

The Consultant must perform work valued at not less than **60%** of the total work on each project contract, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a consultant performing the particular type of service contained in this EOR RFQ Scope of Work.

Requirement of Contract Awards:

Clinton City is not required or limited to contract with the firm selected as EOR for any or all contracts during the period of EOR status. Should Clinton City determine that another firm has personnel, expertise or other qualification for a project(s), Clinton City is not bound by this selection process and can select through another Qualification-Based Selection for projects, i.e. UDOT Consultant Services General Engineering and Local Government Pool, Streamlined or Standard RFQ. The City may elect to cancel the EOR relationship at any time.

Required Completion and Acceptance Criteria:

Progress payments will be made with a five-percent retainage of the invoiced amount for work in progress for each contract. Final payment for each contract, including any retainage, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by Clinton City and the Utah Department of Transportation as accurate and complete. Penalties may be assessed for failure to perform in a satisfactory manner.

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Applicable Federal and State Regulations:

The Consultant shall conform to all applicable state and federal regulations.

Debarment Certification:

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:

Notice to proceed will be given by **UDOT Consultant Services** as soon as contracts have been approved and signed by all parties and returned to Consultant Services.

Required Statement Contents:

The Statement from the Consultant should contain the information identified in the attached *Guidelines for Preparing an EOR Statement of Qualifications*.

Statement Evaluation Procedures:

The Statement shall be evaluated by an EOR Selection Team in accordance with the criteria described in the *Guidelines for Preparing an EOR Statement of Qualifications*.

Conditions of Proposal:

All costs related to the preparation of the SOQ and any related activities such as interviews are the sole responsibility of the Consultant. Clinton City and the Department assume no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Statements:

Statements become the property of the City and the Utah Department of Transportation, and shall be treated as privileged documents, and are disposed of according to City or Department policies respectfully, including the right to reject all Statements. The Statement of the successful Consultant shall be open to public inspection for a period of one year after award of the selection. Statements of Consultants who are not selected shall not be open to public inspection and will be destroyed once the selection has been made.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the UDOT Consultant Services Manager shall examine the request in the Statement to determine its validity prior to selection. If the parties do not agree as to the disclosure of data in contracts, the UDOT Consultant Services Manager shall inform the Consultant in writing what portion of the Statement will be disclosed and that, unless the Consultant withdraws the Statement, it will be disclosed. If the Consultant withdraws their Statement, the Consultant will not be awarded the contract.

Ownership of Documents: All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on resulting contracts, shall be delivered to and become the property of the City.

Financial Screening:

The Department requires that Consultants be Financially Screened prior to performing work. **If a Consultant is selected and has not been financially screened and approved within two weeks after selection, the Consultant will be disqualified unless the delay is due to**

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problems or delays by UDOT. The Consultant will be required to be financially screened throughout their EOR status.

The time it takes a Consultant to complete the Financial Screening process varies and therefore the Department encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site <http://www.udot.utah.gov/go/csforms>. For questions, contact the UDOT Consultant Services Financial Analyst at 801/965-4138. A Consultant's Financial Screening status is effective for a period of one year from the time the Consultant is approved.

Pre-award Audit:

In the event that a proposing consultant has failed to pay monies due to the Department for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's Statement of Qualifications. Disqualification will be based on the audit findings, determinations, and recommendations made by the Department's authorized agent.

Insurance Certificates:

The Consultant is required to provide the Department with Certificates of Insurance referencing the project, and naming Clinton City, Utah Department of Transportation and the State of Utah as additional insured.

Subscription to the UDOT Consultant Services Update Service:

Please subscribe to the Consultant Services Electronic Notification Subscription Service to receive notifications regarding this and other consulting opportunities, including any updates or changes to this RFQ, by visiting the UDOT Consultant Services Update Service on the UDOT Web site <http://www.udot.utah.gov/go/subscriptionlist>.

If there are any changes affecting this EOR RFQ, notice will be sent out via an e-mail through the update service.

Consultant and/or Corporate Logos or Branding

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. This requirement does not apply to Statements of Qualifications. For specific questions or further guidance, please contact Gaye Hettrick, UDOT Consultant Services Manager, 801-965-4639 or ghettrick@utah.gov.

Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks;
- Environmental Documents;
- Standard UDOT Forms;
- Project Websites;
- Cover Pages;
- Headers/Footers; and,
- Information and Display Boards for Public Meetings.

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Appendix A

Guidelines for Preparing an EOR Statement of Qualifications

INTRODUCTION

These guidelines were developed to standardize the preparation of an EOR Statement of Qualifications (EOR SOQ) by Consultants for engineering services provided for a federally funded Local Government project. Submitting an EOR SOQ is the beginning of the selection process and is used as the basis for selecting or for short listing Consultants. If the Local Government and the Department determines interviews are necessary prior to selection, a minimum of two and a maximum of five Consultants will be short-listed and invited to an interview by the Local Government and the Department.

The purpose for these guidelines is to assure consistency in format and content in the EOR SOQ prepared by Consultants and submitted to the Department. Preparing an EOR SOQ instead of a detailed proposal reduces the time requirements for the Consultants and simplifies the review process for the Local Government and Department personnel.

EOR SOQ SECTIONS

The EOR SOQ should contain the following sections in the order listed:

1. Introductory Letter
2. Firm Qualifications
3. Key Personnel
4. Project Experience
5. Appendix B

EOR SOQ EVALUATION CRITERIA

Rating: **0** = Not Qualified **1** **2** **3** **4** **5** = Excellent

	Criteria	Maximum Points Possible	Rating	Multiplier	Score
1	Firm Qualifications	(35)		X <u>7</u> =	
2	Key Personnel	(35)		X <u>7</u> =	
3	Project Experience	(30)		X <u>6</u> =	
<u>Total Points</u>		100			

The EOR Selection Review Team will evaluate and score all SOQs in accordance with the criteria and rating scale above. (NOTE: It is not required to have headings on separate pages in the SOQ.)

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1. Introductory Letter – The introductory letter should be addressed to:

Raeleen Sanchez
Consultant Services LG Contract Administrator
Utah Department of Transportation
4501 South 2700 West
Salt Lake City, UT 84119

In **one page**, express your interest in the project, state qualifications to do the work, and recount any summary information on the project team or yourself that may be useful or informative to Clinton City and the Department.

Include the mailing and e-mail addresses and the phone number of the primary contact person for this consultant selection process in the Introductory Letter.

No evaluation points are assigned to this section and the Introductory Letter will not count as one of the allowed pages.

2. Firm Qualifications – The Selection Team will evaluate the Consultant's capability to perform the work.

Provide specific Consultant firm qualifications directly related to the EOR “Areas of Expertise” (as defined in Appendix C, Scope of Work), both local and national (if applicable). Particular emphasis should be placed on your firm's specific and unique strengths that show leadership, management, work quality, commitment, collaboration, and communication capabilities.

- Describe your firm's capability to perform the work.
- Describe any unique qualifications your firm has to perform this type of work.
- Describe your firm's internal quality and cost control procedures.

A maximum of **35** points is available for this section.

3. Key Personnel -- The Selection Team will evaluate how well the qualifications and experience of the Consultant's staff relate to Clinton City's needs. Clinton City and the Department recommend the following information be provided.

- Describe the qualifications, experience and availability of Key Personnel that your firm will utilize in the particular EOR “Areas of Expertise”. Specific past experience related to education, expertise, leadership, management, and ability to collaborate and communicate should be emphasized. (NOTE: Do not include percentages of availability as this may be misinterpreted.)

A maximum of **35** points is available for this section.

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4. Project Experience -- Provide specific project experience of the firm on transportation projects in the particular EOR "Areas of Expertise". Project experience must be work completed within the past **ten** years, including references (minimum of five) and must highlight specific needs similar to those of a Local Government of Clinton City's size and needs.
- Provide a spreadsheet list of projects you have **completed** during the last **ten** years. The heading of the spreadsheet may include the following (see sample *Related Experience* spreadsheet form available on the UDOT Web site <http://www.udot.utah.gov/go/csforms> under *Project Organization Chart and Related Experience Charts*. (Note: Columns may be combined in order to meet the font size and margin requirements.)
 - Name of Project Manager
 - Year
 - Type of Project
 - Project Name
 - Project Location
 - Project Description
 - Construction Estimate Cost - \$Million
 - Services Performed
 - Client
 - Reference Contact and Telephone Number

A maximum of **30** points is available for this section.

5. Appendix B - The Consultant is expected to complete the form, *Proposed Key Personnel to Be Used on UDOT/EOR Project* (attached as **Appendix B** to this EOR RFQ). The Appendix B should state the certification and education levels of the individuals proposed for use on projects including sub-consultants' personnel. **The completed form must be included in EOR SOQ's but will not count as one of the allowed pages.**

When Consultants list personnel on Appendix B *Proposed Key Personnel to Be Used on UDOT/EOR Project* Form, the Consultant is agreeing to make the personnel available to complete work on contracts at whatever level the project requires.

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EOR SOQ FORMAT REQUIREMENTS

It is very important that submittals be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the EOR Selection Team.

1. **Ten (10) SOQ Hard Copies** – (Number sequentially from one to ten on the upper right hand corner of the cover.)
2. **Electronic PDF File of SOQ on a CD** – (Labeled with the Consultant Name, Clinton City EOR RFQ, and Submittal Due Date.)
3. **Color is allowed**
4. **8½" x 11" Page Sizes** – (Refer to No. 12 of SOQ Format Requirements for further details.)
5. **One (1") Margins** – (Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin)
6. **10 Pt Font and 12 Pt Line Spacing, Minimums** – (The minimum font size is 10 point font or greater everywhere in SOQ including graphics, unless the graphics are a duplication from another source and the source is referenced. The minimum line spacing is 12 point.)
7. **Related Experience Chart is required** – (The sample chart *Related Experience Charts* is available on the UDOT Web site <http://www.udot.utah.gov/go/csforms>.)
8. **Bind SOQ on 11" Left Side**
9. **Tab the SOQ Sections for easy reference for reviewers** – (Sections are the Introductory Letter, each of the evaluation criteria, and Appendix B. If you limit information on tabs to Section Identification, Consultant Name/Logo, and/or un-enhanced photographs, then the tab pages will not count towards the page maximum.)
10. **Front and Back Cover Pages are allowed** – (Information on the front cover page is not restricted. Cover pages will not count towards the page maximum.)
11. **Appendix B is required** – (Appendix B will not count towards the page maximum.)

A maximum total of 100 points is available for the EOR SOQ. **A one-point penalty will be assessed by Consultant Services for each applicable violation of the above (#1 through #11) format requirements for a maximum 11-point penalty per SOQ.**

12. **Ten-Page Maximum** – (The Statement of Qualifications has a maximum page limit of **ten** pages.)

A page is defined as a single-sided 8.5" x 11" sheet that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

The Introductory Letter, Tab Pages, Appendix B, and Cover Pages will not count towards the page maximum.

Any SOQ that exceeds the ten-page maximum will receive a three-point penalty per page over the limit.

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EOR SELECTION TEAM

The Selection Team members will receive hard copies of each SOQ submitted. They will review and score the SOQ's individually based on the evaluation criteria and submit their scores and comments to the Project Administrator. The Administrator will tally and compile the scores and comments. The Selection Team may then meet to discuss the scores and comments and determine whether interviews are necessary or whether the selection may be made based on the scores from the SOQ's.

Most EOR RFQ selections will be based on the EOR SOQ scores. However, if the Selection Team determines it is necessary to have interviews in order to make a selection, the members will develop the format of the interviews in the Selection Team Meeting by completing the *Interview Format Worksheet*.

SELECTION INTERVIEWS

If the EOR Selection Team determines interviews are necessary, the following topics may be some of the issues discussed.

- Understanding of the Work
- Needs Associated with a Local Government of similar size
- Schedule Control
- Project Management
- Familiarity with Local Government, UDOT and FHWA

“SELECTING BY CONSENT” PROCESS

The final selection process will be performed using the “Selecting by Consent” (SBC) process developed by the UDOT Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the Selection Team in developing the final ranking of consultants through a collaborative process. In this process each segment and question of the interview is weighted in advance during the Selection Team Meeting. After the interviews are conducted, the Selection Team scores each segment and question by consent. Consent is defined as the willingness of all Selection Team members to accept a decision reached by a collaborative process. The final selection ranking of consultants is based on the final scores developed by the Selection Team using the *Interview Scores* spreadsheet.

For more information regarding this process and copies of the *Interview Format Worksheet* and *Interview Scores* forms, see the UDOT Web site <http://www.udot.utah.gov/go/csforms>.

SUMMARY

The EOR SOQ should be clear, concise, and it should provide the EOR's Selection Team Members with an understanding of the Consultant's and Sub-consultants' ability to undertake and complete projects for Clinton City in a thorough and timely manner.

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Appendix B

Proposed Key Personnel to Be Used On UDOT/EOR Project

Name	Firm Name	Title (Within firm and/or proposed on project)	Certification Category/Level	Utah License/ Certification No.	Other State License/ Certification No.	Education Level

Include all key personnel who are proposed to work on EOR project including sub-consultants. Add additional pages if needed.

The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website <http://www.udot.utah.gov/go/csforms>.

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Appendix C

A. SCOPE OF WORK

The UDOT Project Manager has the authority to approve or disapprove an EOR's project-specific staffing plan.

The five Areas of Expertise allowed for an Engineer of Record are:

- **Bridge Design**
- **Environmental**
- **Utility**
- **Preconstruction**
- **Construction Engineering Management**

Bridge Design

- Experience in Bridge/Structural Design, Management, and Operations
- Experience in Construction Management including bridges
- Asset Management Experience
- Familiar with AASHTO and FHWA Specifications and Requirements
- Familiar with UDOT/FHWA Planning Process
- Familiar with UDOT Processes
- Understand and Follow QC/QA Process

Environmental

This category of work provides services relative to environmental conditions on local property, on property proposed for local acquisition, or at a highway construction site for any federally funded transportation projects. Consultants must be able to document their ability to successfully conduct environmental services, such as:

- Investigate past and present site usage to determine the potential for the presence of regulated materials.
- Conduct site investigations to identify, locate, and quantify the existence of regulated materials.
- Develop remedial designs or feasibility studies leading to engineering drawings, specifications, and bid documents for environmental responses.
- Furnish, install, test, and operate equipment necessary for environmental responses.
- Document findings, tests, and project costs for the Department and regulatory agencies.
- Provide environmental expertise in areas of compliance, training, emergency response, and expert testimony in situations that develop into litigation.

The EOR is required to comply with Section 4(f) Evaluation as per UDOT's Design Process, Federal Register 23-CFR-771 (Federal Register August 28, 1987), FHWA Technical Advisory T6640.8A (October 30, 1987) and other appropriate Federal, State and local laws.

UDOT recommends LGAs use UDOT Consultant Services Standard Request for Qualifications for Environmental Assessments. UDOT requires LGAs use UDOT Consultant Services Standard Request for Qualification for Environmental Impact Statements. The EOR may provide services needed to prepare the necessary National Environmental Policy Act (NEPA) documents for Categorical Exclusions (CAT EX), and Environmental Assessments (EA). Areas

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of study for all NEPA environmental studies may include: historic; archeological; hazardous waste; public involvement; noise; wetlands; flood plains; wetland mitigation; permitting issues; air quality; prime and unique farmlands; endangered species; secondary and cumulative impacts.

Preconstruction Engineering

Consultants may provide a variety of engineering services including:

- Personnel resources
- Equipment and materials necessary to prepare contract plans, specifications and estimates or any parts thereof in accordance with the UDOT Design Process for each project as defined in the applicable contract

Construction Engineering Management

All qualified Consultants desiring to provide Construction Engineering/Management services to the Local Government may be required to provide the following prior to being selected for a project:

- Have performed at least one successful Local Government project previously
- Training Certification Verification
- Conference Attendee Verification
- Continuous on site monitoring of the contractor's work and resolve any issues that arise
- Conduct all necessary meetings from advertisement to the post construction conference
- Monitor the contractor's work for safety, adherence to the traffic control plan, and compliance with appropriate plans and specifications related to the project.

B. QC/QA Plan Requirements

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for each project. The Department has adopted new QC/QA standards and the consultant must meet or exceed these requirements. The Standard may be found on the UDOT Web site <http://www.udot.utah.gov/go/csforms>.
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

C. Department Furnished Items

- UDOT Standards and Specifications (available online at the UDOT Web site <http://www.udot.utah.gov/go/standardsandspecifications>)
- UDOT Consultant Services Manual of Instruction (available online at the UDOT Web site <http://www.udot.utah.gov/go/csmanuals>)